

(19) World Intellectual Property
Organization
International Bureau



(43) International Publication Date
11 November 2004 (11.11.2004)

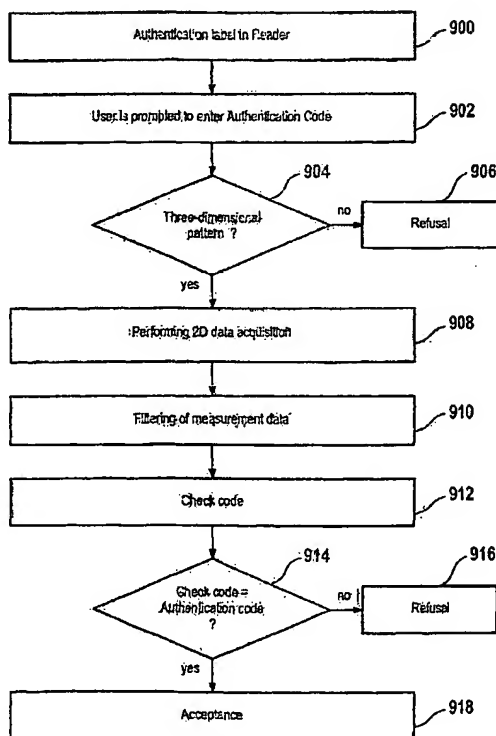
PCT

(10) International Publication Number
WO 2004/097730 A1

- (51) International Patent Classification⁷: **G06K 19/06**, 7/14
- (21) International Application Number: PCT/EP2004/004539
- (22) International Filing Date: 29 April 2004 (29.04.2004)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data:
03462003.9 30 April 2003 (30.04.2003) EP
04462004.5 30 January 2004 (30.01.2004) EP
- (71) Applicant (for all designated States except US):
**HEWLETT-PACKARD MAGYARORSZAG
SZAMI-TASTECHNIKAI ES ELEKTRON-
IKAI BERENDEZESEKET FORGALMAZO ES
SZOLGALTATO KORLATOIT FELELOSSEGU
TARAOSAG [HU/HU];** 1 Neumann Janos u., Budapest,
H-1117 (HU).
- (72) Inventor; and
- (75) Inventor/Applicant (for US only): **HARASZTI, Attila**
[HU/HU]; Bonyh, di 106, Budapest, N/A H-1141 Hungary
(HU).
- (74) Agent: **DAVID, John, Marsh;** Hewlett-Packard Limited,
Intellectual Property Section, Filton Road, Stoke Gifford,
Bristol, BS34 8QZ (GB).
- (81) Designated States (unless otherwise indicated, for every
kind of national protection available): AE, AG, AL, AM,
AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN,
CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI,
GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE,
KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD,
MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG,
PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM,
TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM,
ZW.
- (84) Designated States (unless otherwise indicated, for every
kind of regional protection available): ARIPO (BW, GH,

[Continued on next page]

(54) Title: METHOD AND DEVICE FOR DETERMINING THE AUTHENTICITY OF AN OBJECT



(57) Abstract: An authentication method is provided that is based on a reference object, such as an authentication label attached to an optical disc. The authentication label has a three-dimensional distribution of particles. For the purposes of authentication it is determined whether there is in fact a three-dimensional particle distribution. Next a two-dimensional data acquisition step is performed for the purpose of authentication. This method is particularly useful for copy protection.



GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PL, PT, RO, SE, SI, SK, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

— *before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments*

Published:

— *with international search report*

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

12/pets
JC20 Rec'd PCT/PTO 1 4 OCT 2005

Method and device for determining the authenticity of an object

Description

Field of the invention

The present invention relates to the field of authentication techniques, and more
5 particularly without limitation, to authentication of customer cards, financial
transaction cards and copy protection.

Background and prior art

Various sealing and printing techniques to provide authentication and to avoid
unauthorised replication of products and documents are known from the prior
10 art. However, an increasing economic damage results from forgery due to
insufficient security.

For authenticating documents and things U.S. Pat. No. 5,145,212 teaches the
use of non-continuous reflective holograms or diffraction gratings. Such a
hologram or diffraction grating is firmly attached to a surface that contains visual
15 information desired to be protected from alteration. The reflective discontinuous
hologram is formed in a pattern that both permits viewing the protected
information through it and the viewing of an authenticating image or other light
pattern reconstructed from it in reflection. In another specific authentication
application of this U.S. Patent a non-transparent structure of two side-by-side
20 non-continuous holograms or diffraction patterns, each reconstructing a
separate image or other light pattern, increases the difficulty of counterfeiting
the structure.

PCT application WO087/07034 described holograms, including diffraction gratings, that reconstruct an image which changes as the hologram is tilted with respect to the viewer and in a manner that images reconstructed from copies made of the hologram in monochromatic light do not have that motion.

- 5 In UK Patent Application GB 2 093 404 sheet material items which are subject to counterfeiting have an integral or bonded authenticating device which comprises a substrate having a reflective diffractive structure formed as a relief pattern on a viewable surface thereon and a transparent material covering the structure. Specified grating parameters of the diffractive structure result in
10 peculiar, but easily discernable, optical colour properties that cannot be copied by colour copying machines.

- U.S. Pat. No. 4,661,983 described a random-pattern of microscopic lines or cracks having widths in the order of micrometers that inherently forms in a dielectric coating of an authenticating device incorporated in a secure
15 document. It permits identification of a genuine individual document by comparing read-out line-position information derived by microscopic inspection with read-out digital codes of line-information obtained earlier at the time of fabrication of the document.

- US Patent No. 5,856,070 shows an authentication label containing a light
20 diffracting structure. Unique parameters are randomly defined in the light diffracting structure by anisotropic process steps not under full control of the producer during the manufacturing of the diffracting structure to prevent copying or creating an exact replica thereof. The resultant uniquely coloured authenticating pattern can be verified by simple observation with the naked eye.

- 25 US Patent No. 4,218,674 shows an authentication method and system that uses an object being of base material having random imperfections. The random imperfections are converted into pulses along a pre-determined measuring track over the surface of the object of base material.

Summary of the invention

The present invention provides for an authentication method which is based on an authentication object, such as an authentication label, having a three-dimensional pattern of distributed particles. By means of a two-dimensional data acquisition performed on the object a code is obtained that is used for the purpose of authentication.

When the authenticity of the object needs to be checked the same two-dimensional data acquisition step is performed again in order to provide a check-code. On the basis of the code and the check-code the authentication is performed. For example, if the code and the check-code are identical, this means that the object is an original and not an unauthorised copy.

The present invention is particularly advantageous as authentication is based on the three-dimensionality of the particle distribution within the object. If it is determined for the purposes of authentication that an object does in fact have a three-dimensional pattern of distributed particles it is sufficient to perform the consecutive data acquisition in two-dimensions. This approach is based on the discovery that it is most difficult if not impossible to copy the particle distributions in two-dimensions in case the particles are distributed in three-dimensions.

In accordance with a preferred embodiment of the invention the particles that are distributed in the object are magnetic. The two-dimensional data acquisition is performed by scanning the object by means of a magnetic head.

In accordance with a further preferred embodiment of the invention an image of the object is acquired in the two-dimensional data acquisition step. The image is scanned and filtered in order to obtain a data vector. Preferably the filtering involves some kind of averaging in order to increase the robustness of the method.

In accordance with a further preferred embodiment of the invention binary data is encrypted by means of the code acquired from the two-dimensional data

acquisition in order to provide a code for the authentication. Preferably the binary data is a symmetric key that is used for encryption and decryption of mass data.

In accordance with a further preferred embodiment of the invention the code
5 acquired from the object by means of the two-dimensional data acquisition is a reference data vector. For encoding of each bit of the binary data a random vector is determined on the basis of the reference data vector. This encryption method is particularly advantageous as the key management problem is avoided. In contrast to prior art encryption it is not performed on the basis of an
10 exact key but on the basis of a reference object from which a reference data vector data is acquired.

In accordance with a further preferred embodiment of the invention a data object is used as a reference object. For acquisition of a reference data vector the data object is rendered by means of a rendering program, such as a text
15 processing program in case the data object is a text document, and the data acquisition is performed on the rendered data object.

In accordance with a further preferred embodiment of the invention the random vector for encoding one of the bits is determined by generating a candidate random vector and by calculating the scalar product of the candidate random
20 vector and the reference data vector. In case the absolute value of the scalar product is (i) above a pre-defined threshold value and (ii) the sign of the scalar product corresponds to the bit to be encoded, the candidate random vector is accepted for encoding of the bit and stored. In case the candidate random vector does not fulfil these two requirements (i) and (ii) another candidate
25 random vector is generated and the conditions are tested again. This procedure continues until a candidate random vector is identified that fulfils both conditions.

In accordance with a further preferred embodiment of the invention a running index of the accepted candidate random vector is stored rather than the
30 complete candidate random vector. The combination of the running index and

the seed value of the pseudo random number generator that is used for generating of the random vectors unequivocally identifies the complete random vector. This way the size of the result of the encryption can be reduced drastically.

- 5 In accordance with a further preferred embodiment of the invention a data file is encrypted. For example a user can encrypt a data file on his or her computer on the basis of the authentication object in order to protect the data file against unauthorised access.

- 10 In accordance with a further preferred embodiment of the invention a user's personal data, such as the user's name as printed on his or hers passport or chip card, is encrypted. This is useful for checking the authenticity of the passport or chip card.

- 15 In accordance with a further preferred embodiment of the invention a symmetric key is encrypted on the basis of the reference object. For example, the symmetric key is used for encryption of a large data file. The symmetric key itself is encrypted in accordance with a method of the present invention on the basis of the authentication object. This way the symmetric key is protected in a secure way while avoiding the disadvantages of prior art key management approaches.

- 20 In another aspect the present invention provides a method of encrypting and decrypting binary data. The binary data is assigned a random vector for each encoded bit. The decoding is performed by acquiring a reference data vector from a reference object. The decryption of one of the bits is performed on the basis of one of the random vectors and the reference data vector.

- 25 In accordance with a preferred embodiment of the invention the decryption of one of the bits is performed by determining the sign of the scalar product of the reference data vector and the one of the random vectors.

Decryption of the encrypted binary data is only possible if the reference object is authentic. It is to be noted that the reference data vector that was used for the

encryption does not need to be reproduced in an exact way for the decryption; some degree of error in the acquisition of the reference data vector is allowed without negatively affecting the decryption.

5 The present invention is particularly advantageous in that it facilitates the solution of the prior art key management problem in a user friendly, convenient and yet secure way. The present invention can be used in various fields for the purposes of protecting the confidentiality of data and for the purpose of authentication of documents or files.

10 In another aspect the present invention relates to copy protection. In accordance with a preferred embodiment of the invention the mass data to be stored on a data carrier, such as an optical recording device, e.g. a CD or DVD, is first encoded by means of a symmetric key before it is stored on the data carrier. A reference object is attached to the data carrier or forms an integral part of the data carrier such that the reference object cannot be removed
15 without destroying the object and / or the data carrier.

The symmetric key that was used for encrypting the mass data stored on the data carrier is encrypted by means of a reference data vector acquired from the reference object of the data carrier. The resulting set of random vectors is stored on the data carrier. This can be done by attaching a label, such as a bar
20 code label to the data carrier or a data carrier cover, and/or by digitally storing the set of random vectors on the data carrier. Depending on the implementation the seed value that was used for generating the random vectors together with the running indices is stored rather than the complete random vectors.

25 In accordance with a further preferred embodiment of the invention an image of the object is acquired in a read position. The read position may be dislocated from a reference position defined by markers on the object due to mechanical tolerances of the read apparatus. The amount of the dislocation of the read position with respect to a reference position is measured by detecting of the marker positions in the image. Next a projective transformation is performed on
30 the image for compensation of the dislocation.

Brief description of the drawings

In the following, preferred embodiments of the invention will be described, by way of example only, and with reference to the drawings, in which:

- Figure 1 is illustrative of a first embodiment of an authentication label,
- 5 Figure 2 is illustrative of a second embodiment of an authentication label,
- Figure 3 is a flow chart for generating an authentication code for an authentication label,
- Figure 4 is a flow chart for generating an authentication code by encrypting binary data,
- 10 Figure 5 illustrates the result of the encryption of figure 4,
- Figure 6 is a flow chart for generating the authentication code by means of a pseudo random number generator,
- Figure 7 is a block diagram of an image processing and encoding apparatus for generating an authentication code for an authentication label,
- 15 Figure 8 is illustrative of a grid that is used for filtering an image,
- Figure 9 is a flow diagram for determining the authenticity of an authentication label,
- Figure 10 is a flow diagram for determination of the authenticity of an authentication label by decrypting the binary data,
- 20 Figure 11 is a flow diagram for performing the method of figure 10 by means of a pseudo random number generator,
- Figure 12 is illustrative of a method for determining if the authentication label has a three-dimensional pattern of distributed particles,

Figure 13 is illustrative of an alternative method for determining if the authentication label has a three-dimensional pattern of distributed particles,

5 Figure 14 is illustrative of a further alternative method for determining if the authentication label has a three-dimensional pattern of distributed particles,

Figure 15 shows an optical recording medium with an attached or integrated authentication label,

10 Figure 16 shows a block diagram of a reader for the optical recording medium of figure 15.

Detailed description

Figure 1 shows authentication label 100. Authentication label 100 has carrier layer 102 with embedded particles 104. The particles 104 are randomly distributed with carrier layer 102, such that the positions of the particles 104 within carrier layer 102 define a random three-dimensional pattern.

Carrier layer 102 consists of a translucent or transparent material, such as a synthetic resin or transparent plastic material, which enables to optically determine the positions of particles 104. For example, carrier layer 102 has a thickness 106 of between 0,3 to 1 mm or any other convenient thickness.

20 Particles 104 can be glass beads or balls, or disks, metallic or pearlescent pigments with or without a light reflecting coating or any other convenient form or type of particle. The particles can be optically detected due to their reflective coating, or in the absence of such reflective coating, due to their reflection coefficient, which is different to the material of the carrier layer 102. Preferably
25 particles 104 are 5 to 200 micrometers in diameter. For example, particles 104 can be optical lens elements to provide the authentication label 100 with a reflective effect.

Preferably authentication label has adhesive layer 108 in order to glue authentication label 100 to a product of document. The material properties of carrier layer 102 and adhesive layer 108 are chosen such that an attempt to remove authentication label 100 from the product or document would result in
5 destruction of authentication label 100.

Figure 2 shows an alternative embodiment, where like reference numerals are used to designate like elements as in figure 1. In the embodiment of figure 2 particles 204 within carrier layer 202 of authentication label 200 are metallic or pearlescent pigments. Again the thickness 206 of carrier layer 202 is about 0,3
10 to 1mm or any other convenient thickness.

For example, authentication label 200 has the size of a post stamp, which is 3 x 4 mm and contains about two hundred particles 204. The random distribution of the two hundred particles within carrier layer 202 provides a sufficient uniqueness of authentication label 200.

15 Figure 3 shows a flow chart for generating an authentication code on the basis of an authentication object, such as an authentication label as described in figures 1 and 2.

In step 300 an authentication object having a three-dimensional pattern of randomly distributed particles is provided. For example, the authentication
20 object is a piece of scotchlite tape, which is commercially available from 3M.

In step 302 a two-dimensional data acquisition step is performed. This can be done by acquiring a two-dimensional image of a surface of the authentication object. Alternatively the authentication object is scanned in two-dimensions by other measurement means. For example, if the particles that are distributed in
25 the object are magnetic a magnetic head can be used for performing the two-dimensional data acquisition.

The measurement data that results from the two dimensional data acquisition performed in step 302 is filtered in step 304. Preferably the measurement data are low pass filtered. For example, measurement data acquired from the same

region of the surface of the authentication object are averaged. These regions are predetermined by a virtual grid.

In step 306 the authentication code is provided.

In order to perform an authentication of the authentication object, steps 300 to
5 306 are performed again. The object is authentic if the following two conditions are fulfilled,

- (i) the particles are randomly distributed in three dimensions within the object, and
- (ii) the resulting codes are identical.

10 This will be explained in greater detail below by making reference to figure 9.

Figure 4 shows an alternative flow chart for providing the authentication code. The authentication code is provided by encryption of l bits of binary data $B_1, B_2, B_3, \dots, B_j, \dots, B_l$. A reference authentication object, such as an authentication label as described in figures 1 and 2, is used as a basis for the encryption.

15 Depending on the kind of reference object a data acquisition step is performed (step 400). This way the reference data vector $\vec{\xi}$ is obtained (step 402) that has a number of k values obtained from the reference data object.

Preferably there is some kind of filtering of the raw data acquired from the reference object in order to provide the reference data vector $\vec{\xi}$. For example,
20 the raw data is filtered by a low pass filter for increased robustness of the encoding and decoding method.

Further, it is useful to normalize the data vector data vector $\vec{\xi}$. This way all values ξ_i are within a defined range, such as between $[-1; 1]$.

In step 404 the l bits to be encrypted are entered. In step 406 the index j is
25 initialised. In step 408 a first candidate random vector \vec{R} is generated by

means of a random number generator. The random vector \vec{R} has the same dimension k as the reference data vector $\vec{\xi}$.

In step 410 the scalar product of the reference data vector and the candidate random vector is calculated. If the absolute value of this scalar product is
 5 above a predefined threshold level ε a first condition is fulfilled. If the sign of the scalar product matches the bit B_j to be encoded this means that the candidate random vector can be accepted for encoding of bit B_j .

For example of the bit B_j is '0' the sign of the scalar product needs to be '-' and if $B_j = 1$ then the sign of the scalar product needs to be '+'.

10 In other words the candidate random vector \vec{R} is accepted for encrypting bit B_j if both of the following conditions are met:

$$(i) \quad \varepsilon \leq \left| \sum_{i=1}^k \xi_i \cdot R_i \right|$$

and

$$(ii) \quad B_j = \text{sign} \left(\sum_{i=1}^k \xi_i \cdot R_i \right)$$

15

If one of the conditions (i) and (ii) is not fulfilled the control goes back to step 408 for generation of a new candidate random vector which is then tested against the two conditions (i) and (ii) in step 410. Steps 408 and 410 are carried out repeatedly until a candidate random vector has been found that
 20 fulfils both of the conditions of step 410. The accepted candidate random vector constitutes row j of matrix M (step 412). In step 414 index j is implemented and the control goes back to step 408 for encoding of the next bit B_j of the l bits to be encrypted.

After encryption of all l bits the control goes to step 416 where the matrix M is outputted as a result of the encryption.

It is to be noted that the choice of threshold ε is a trade off between security, measurement tolerance and processing time. Increasing ε increases the average number of attempts for finding an acceptable candidate random vector but also increases the acceptable measurement tolerance. Decreasing ε increases the security level and decreases the processor power requirement, but decreases the acceptable measurement tolerance. A convenient choice for ε is 1, 2, 3, 4, 5, or 6, preferably between 3 and 4, most probably $\varepsilon = 3.7$ if the reference data vector dimension (k) is 256 and the required measurement tolerance is 5%.

In any other cases a good choice for ε is

$$\varepsilon = 8 \cdot T \cdot \sqrt{k/3}$$

where T is the required measurement tolerance (5% is $T=0.05$) and k is the reference data vector dimension and $\sqrt{()}$ function is the normal square root function.

Figure 5 shows the resulting matrix M that has a number of l rows and k columns. Each row j of matrix M is assigned to one of the bits B_j and contains the random vector that encodes the respective bit B_j .

Decryption of matrix M in order to recover the encrypted bits is only possible if the decryptor is in the possession of the reference object that was used for the encryption (cf. Step 400 of Fig. 4) as the reference data vector $\bar{\xi}$ is not stored in the matrix M or elsewhere.

A corresponding decryption method is explained in greater detail below by making reference to figure 10.

For example, the resulting matrix M is stored by printing a bar code on a secure document carrying the authentication object. Alternatively or in addition the

matrix M can also be stored electronically in case the secure document has an electronic memory.

Figure 6 shows a preferred embodiment of the encryption method of figure 4 that enables to compress the result of the encryption operation. Steps 600 and 602 are identical to steps 400 and 402 of figure 4. In step 603 a seed value for the pseudo random number generator is entered. In step 604 a symmetric key having a length l is entered. This corresponds to step 404 of figure 4. In addition to the initialisation of index j in step 606 (corresponds to step 406 of figure 4) index m is initialised in step 607. Index m is the running index of the random number generator.

In step 608 the first random vector $\tilde{R}_{m=1}$ of k random numbers R_i is generated by the pseudo random number generator on the basis of the seed value. This candidate random vector is evaluated in step 610 in the same way as in step 410 of figure 4. In case the candidate random vector $\tilde{R}_{m=1}$ is accepted as it fulfils the conditions of step 610 only the running index m is stored in step 612 as an element of the sequence S that results from the encryption.

Step 614 corresponds to step 414. In step 616 the sequence S containing a number of l running indices is outputted rather than a matrix M having a number of $l \times k$ random numbers. Hence, by storing the running indices and the seed value rather than the random vectors themselves a drastic compression of the result of the encoding operation is obtained.

Figure 7 shows a block diagram of an image processing and encoding apparatus 700. Image processing and encoding apparatus 700 has light source 702 and optical sensor 704 for taking an image of authentication label 706. For example, authentication label 706 has a similar design as authentication label 100 (cf. figure 1) and authentication label 200 (cf. figure 2). In addition,

authentication label 706 has position markers 708 that relate authentication label 706 to a reference position.

Optical sensor 704 is coupled to image processing module 710. Image processing module 710 has an image processing program that can filter the
5 image data required by optical sensor 704.

Image processing module 710 is coupled to encoding module 712. Encoding module 712 receives the filtered measurement data from image processing module 710. Encoding module 712 is coupled to a storage 714 in order to store the result of the encoding for later usage. For example, the image processing
10 and encoding is done for a sequence of authentication labels for the purpose of mass production of data carriers, passports, bank cards, or other secure documents.

In this case a sequence of authentication codes is stored in storage 714 during the mass production. These authentication codes can be printed and mailed to
15 the users independently from the mailing of the authentication labels 706. For example, the authentication label 706 are attached to customer cards or financial transaction cards, such as ATM-cards, that are mailed to the customers. The customers receive the corresponding authentication codes by separate mail.

20 Preferably image processing and encoding apparatus 700 has random number generator 716. Preferably random number generator 716 is a pseudo random number generator.

Preferably image processing module 710 delivers reference data vector $\vec{\xi}$ (cf. step 402 of figure 4 and step 602 of figure 6). Encoding module 712 performs
25 steps 406 to 416 of figure 4, or if random number generator 716 is a pseudo random number generator, steps 606 to 616 of figure 6. The resulting matrix M or sequence S is stored in storage 714.

As a matter of principle the l bits $B_1, B_2, B_3, \dots B_l$ that are encrypted by encoding module 712 can be of any kind. For example the ASCII code of a user name or other personal data is encrypted. Alternatively a random number such as a pin code that is only known by the user is encrypted.

- 5 As a further alternative a symmetric key is encrypted. The symmetric key is used for encryption of mass data stored on a data carrier. Decryption of the mass data is only possible by an authorised user who is in possession of the authentication label 706 and matrix M or sequence S depending on the implementation. The later application is particularly useful for the purpose of
10 copy protection as it will be explained in greater detail below by making reference to figures 15 and 16.

- Figure 8 shows grid 800 that has grid elements 802. Grid 800 can be used by image processing module 710 (cf. figure 7) for the purpose of filtering image data acquired by optical sensor 704. For example image processing module
15 710 calculates a normalised average grey value for each one of the grid elements 802. The normalised and averaged grey values provide the reference data vectors $\bar{\xi}$ for the encryption and $\bar{\xi}'$ for the decryption. It is to be noted that various other image processing and filtering procedures can be employed to provide the reference data vectors on the basis of the image data acquired by
20 optical sensor 704.

- Figure 9 shows an authentication method that is based on an authentication object or label (cf. fig. 1 and 2) as explained above, in particular with reference to figures 1, 2 and 3. In step 900 e.g. an authentication card with an attached authentication label is inserted into a card reader. In step 902 the user is
25 prompted to enter his or hers authentication code into the card reader, e.g. the code provided in step 306 of figure 3.

In step 904 the card reader makes a determination whether the authentication label has a three-dimensional pattern of particles or not. This can be done by various methods. Preferred embodiments of how this determination can be

done will be explained in more detail by making reference to the figures 12, 13 and 14 below.

If it is determined in step 904 that there is no three-dimensional pattern of distributed particles in the authentication label, a corresponding refusal message is outputted by the card reader in step 906.

If the contrary is true, the authentication procedure goes on to step 908, where a two-dimensional data acquisition procedure on the authentication label is performed. As it has been determined before that there is in fact a three-dimensional distribution pattern of the particles it is sufficient to acquire the data from the authentication label in only two dimensions.

In step 910 the measurement data obtained from the data acquisition performed in step 908 is filtered to provide a check code in step 912. It is to be noted that steps 908 to 912 are substantially identical to steps 302 to 306 of figure 3. In case the authentication label is authentic the check code obtained in step 912 will be identical to the code obtained in step 306. This is checked in step 914.

In case the codes are not identical a refusal message is outputted by the card reader in step 916. If the codes are in fact identical an acceptance message is outputted in step 918 by the card reader. Alternatively an action is performed or enabled depending on the field of application of the authentication method, such as banking, access control, financial transaction, or copy protection.

Figure 10 illustrates a decryption method that corresponds to the encryption method of figure 4.

In step 1000 the matrix M is entered. In step 1002 data is acquired from the reference object. On this basis the reference data vector $\vec{\xi}'$ is obtained (step 1004). It is to be noted that the data acquisition step 400 of figure 4 and data acquisition step 1002 of figure 10 are substantially identical. However, in case the reference object is a physical object the data acquisition will involve some kind of measurement error.

As a consequence the raw data obtained from the measurements of the reference object will not be exactly the same in step 400 figure 4 and step 1002 of figure 10. As a consequence reference data vector $\vec{\xi}'$ provided in step 1004 will also not be identical to reference data vector $\vec{\xi}$ provided in step 402 of figure 4. Despite such differences between the reference data vector $\vec{\xi}$ that was used for the encoding and the reference data vector $\vec{\xi}'$ that forms the basis of the decoding, a correct decoding of the matrix M can be performed in order to obtain the 'hidden' bits $B_1 \dots B_l \dots B_l$:

In step 1006 the index j is initialised. In step 1008 the scalar product of the reference data vector $\vec{\xi}'$ and the random vector in row j of matrix M that is assigned to bit B_j is calculated. The sign of the scalar provides the decoded bit value B_j whereby the same convention as for the encoding is used. In other words, when the sign is negative, the bit value is '0'; if the sign is positive the bit value B_j is '1'.

In step 1010 the index j is incremented and the control goes back to step 1008 for decoding the next bit position. Steps 1008 and 1010 are carried out repeatedly until all l bit positions have been decoded. The decoded l bits are outputted in step 1012.

It is to be noted that the above described encryption and decryption methods are particularly advantageous as they are error tolerant in view of unavoidable measurement errors in the data acquisition from the reference object. Typically the reference data vectors used for the encryption and for the decryption will not be exactly the same but still a correct decryption result is obtained with a high degree of reliability and security.

In case the decoded l bits outputted in step 1012 are identical to the original bits that have been inputted in step 404 (cf. figure 4) the reference object is authentic, otherwise the reference object is refused.

Figure 11 shows an alternative decryption method that is based on pseudo random vectors. The decryption method of figure 11 corresponds to encryption method of figure 6.

5 In step 1100 the sequence S is inputted. The seed value that was used for the encoding (cf. step 603 of figure 6) is inputted in step 1101. Steps 1102, 1104, 1106 are substantially identical to the corresponding steps 1002, 1004 and 1006 of figure 10.

10 In step 1107 a pseudo random generator that operates in accordance with the same algorithm as the pseudo random number generator that has been used for the encryption is used to recover the random vector \bar{R}_{m-s_j} based on the seed value entered in step 1101. This way the random vector that is represented by the running index s_j in the sequence S is recovered.

15 The following step 1108 is identical to step 1008 of figure 10. In step 1110 the index j is incremented. From there the control returns to step 1107 for recovery of the consecutive random vector having the running index s_j . In step 1112 the result of the decoding is outputted.

20 Figure 12 shows authentication label 100 (cf. figure 1). In order to determine whether there is a three-dimensional pattern of particles within authentication label 100 or not three images of authentication label 100 are taken in a sequence by means of camera 1200. The first image is taken with diffuse light source 1202 switched on and diffuse light sources 1204 and 1206 switched off.

The second image is taken with light sources 1202 and 1206 switched off, while light source 1206 illuminates authentication label 100 from still another illumination angle.

25 The three images are combined to provide a resulting image. The combination can be done by digitally superimposing and adding the digital images. If there is in fact a three-dimensional distribution pattern of particles within authentication label regular geometric artefacts must be present in the resulting

image. Such artefacts can be detected by a pattern recognition step. In the case of three light sources the geometric artefacts, which are produced, are triangles of similar size and shape. This effect is not reproducible by means of a two-dimensional copy of the original authentication label 100.

- 5 As an alternative, more than three light sources at different illumination angles can be used for taking a corresponding numbers of images, which are superposed and added. Changing the number of light sources also changes the shape of the geometric artefact in the resulting image.

10 Figure 13 shows an alternative method for determining the three-dimensionality of the distribution pattern of the particles within authentication label 100. For this application is required, that authentication label 100 is reflective. The underlying principle is that the reflective effect can not be reproduced by means of two-dimensional copy of the authentication label 100.

15 The test, whether authentication label 100 is in fact reflective or not, is done as follows: a first image is taken by camera 1300 with diffuse light source 1302 switched on. The diffuse light source 1302 will not invoke the reflective effect. The second image is taken with diffuse light source 1302 switched off and direct light source 1304 switched on.

20 By means of half mirror 1306 this produces an incident light beam, which is about perpendicular to the surface of authentication label 100. This light beam invokes the reflective effect. By comparing the first and the second images it is apparent whether authentication label 100 is reflective or not. This distinction can be made automatically by means of a relatively simple image processing routine.

25 Figure 14 shows a further alternative method of determining whether the distribution pattern of particles is three-dimensional or not. This method requires that the particles within authentication label 200 (cf. figure 2) are pearlescent pigments.

Presently, mica pigments coated with titanium dioxide and /or iron oxide are safe, stable and environmentally acceptable for use in coating, cosmetics and plastics. The pearlescent effect is produced by the behaviour of incident light on the oxide coated mica; partial reflection from and partial transmission
5 through the platelets create a sense of depth. The colour of the transmitted light is complementary to the colour of the reflected light.

To check the presence of this colour effect, light source 1400 producing diffuse, white light and two cameras 1402 and 1404 are used. The cameras 1402 and 1404 are positioned at opposite sides of authentication label 200.

10 An incident light beam 1406 is partly reflected by particle 204 into reflected light beam 1408 and partly transmitted as transmitted light beam 1410. If the colours of reflected light beam 1408 and transmitted light beam 1410 are complementary this means that authentication label 200 could not have been produced by two-dimensional copying.

15 The test whether the colours of reflected light beam 1408 and transmitted light beam 1410 are complementary can be made by summing the colour coordinate values e.g. using the RGB colour coordinate system. The summation of the colour coordinates must result in roughly a constant RGB value.

Figure 15 shows optical disc 1550, such as a CD or DVD. Optical disc 1550
20 has an area 1552 that is covered by a data track. Outside area 1552, such as within an area 1554, an angularly shaped authentication label 1556 is glued to the surface of optical disc 1550 or integrated within optical disc 1550. Authentication label 1556 is similar to authentication label 100 of figure 1 or authentication label 200 of figure 2.

25 The data track of area 1552 stores encrypted data, such as audio and / or video data, multimedia data, and / or data files. In addition matrix M (cf. step 416 of figure 4) or sequence S (cf. step 616 of figure 6) and the seed value are stored in the data track without encryption. Alternatively a machine readable and / or human readable label is attached to optical disc 1550 with the matrix M or

sequence S and seed value printed on it. Preferably the label is glued to the back side of optical disc 1550 or within inner area 1554.

When a user desires to use optical disc 1550, he or she puts optical disc 1550 into a player or disc drive. The player or disc drive reads the matrix M or the sequence S and seed value from the optical disc 1550. On this basis the authenticity of authentication label 1556 is checked by performing the method of figure 10 or 11, depending on the implementation. In case authentication label 1556 is in fact authentic the symmetric key is recovered and the encrypted mass data stored in the data track is decrypted in order to enable playback, rendering or opening of the files. Otherwise the key is not recovered and decryption of the mass data is not possible.

Figure 16 shows a block diagram of reader 1600 that can be used as a playback device for optical disc 1550 (cf. figure 15). Elements of figure 15 that correspond to elements of figure 7 are designated by like reference numerals.

Reader 1600 has slot 1622 with a mechanism for insertion of optical disc 1550. Authentication label 1556 is attached to the surface of optical disc 1550 by an adhesive or it is integrated within the card. In the latter case the surface of optical disc 1550 must be transparent in order to enable to take an image of the surface of authentication label 1556. For example, optical disc 1550 is made of a flexible, transparent plastic that has a smooth outer surface and which envelops authentication label 1556.

Reader 1600 has at least one light source 1602 for illumination of authentication label 1556 when optical disc 1550 is inserted into slot 1622 (cf. the implementations of fig. 12 to 14).

Further, reader 1600 has optical sensor 1604, such as a CCD camera. Optical sensor 1604 is coupled to image processing module 1610. Image processing module 1610 is equivalent to image processing module 710 of figure 7, i.e. it provides the same kind of two-dimensional data acquisition and filtering.

Image processing module 1610 is coupled to decryption module 1612. Decryption module 1612 serves to recover a symmetric key for decryption of mass data stored on optical disc 1550 by consecutive decryption module 1617. Decryption module 1617 is coupled to rendering module 1618.

- 5 Optical reader 1620 is coupled both to decryption module 1612 and decryption module 1617. Optical reader 1620 has a laser diode for directing a laser beam onto a surface of optical disc 1550 in order to read its data track.

If the method of figure 6 has been used for the encoding pseudo random number generator 1616 is required for the decryption.

- 10 Preferably light source 1602 and optical sensor 1604 implement any one of the arrangements of figures 12 to 14 as explained above.

In the following it is assumed that the matrix M or the sequence S and seed code are stored on the data track of optical disc 1550.

- 15 In operation optical disc 1550 is inserted into slot 1622. In response a determination is made by image processing module 1610 by means of light source 1602 and optical sensor 1604 where there is a three-dimensional distribution of particles within authentication label 1556 (cf. figures 12, 13 and 14).

- 20 If image processing module 1610 determines that there is in fact a three-dimensional particle distribution within authentication label 1556 it directs optical reader 1620 to read matrix M or sequence S and the seed value from the data track of the optical disc 1550. This information is entered into decryption module 1612.

- 25 Further, optical sensor 1604 acquires image data from authentication label 1556. The image data is filtered by image processing module 1610 and the resulting data vector $\vec{\xi}'$ is entered into decryption module 1612. Decryption module 1612 recovers the symmetric key from the matrix M or the sequence S by using the seed value for the random number generator 1616. The resulting

symmetric key is provided to decryption module 1617. The encrypted mass data that is read by optical reader 1620 from optical disc 1550 is decrypted by decryption module 1617 by means of the symmetric key. As a result the decrypted mass data is recovered and rendered by rendering module 1618.

- 5 Alternatively, the matrix M or the sequence S and the seed value are provided to the user by means of a separate information carrier, such as on a printed document. In this implementation the user may need to manually enter the matrix M or the sequence S and the seed value into reader 1600. Alternatively, the information carrier is machine readable and attached to optical disc 1550.
- 10 In this case the information carrier is read by means of optical sensor 1604 and image processing module 1610 in order to provide matrix M or sequence S and the seed value to the decryption module 1612.

List of Reference Numerals

5

100	Authentication Label
102	Carrier Layer
104	Particles
106	Thickness
108	Adhesive Layer
200	Authentication Label
202	Carrier Layer
204	Particles
206	Thickness
208	Adhesive Layer
700	Image Processing and Encoding Apparatus
702	Light Source
704	Optical Sensor
706	Authentication Label
708	Position Makers
710	Image Processing Module
712	Encoding Module
714	Storage
716	Random Number Generator
800	Grid
802	Grid Element
1200	Camera
1202	Light Source
1204	Light Source

1206	Light Source
1300	Camera
1302	Diffuse Light Source
1304	Direct Light Source
1306	Half Mirror
1401	Light Source
1402	Camera
1404	Camera
1406	Light Beam
1408	Reflected Light Beam
1410	Transmitted Light Beam
1550	Optical Disk
1552	Area
1554	Inner Area
1556	Authentication Label
1600	Reader
1550	Optical Disk
1552	Area
1554	Inner Area
1556	Authentication Label
1600	Reader
1602	Light Source
1604	Optical Sensor
1610	Image Processing Module
1612	Decryption Module
1616	Random Number Generator
1617	Decryption Module
1618	Rendering Module
1620	Optical Reader
1622	Slot

C L A I M S

-
1. A method of determining the authenticity of an object comprising:
- 5 - receiving a first code,
- determining if the object has a three-dimensional pattern of distributed particles,
- performing a two-dimensional data acquisition for acquisition of a second code from the object,
- 10 - determining the authenticity using the first and second codes.
2. The method of claim 1, the determination if the object has a three-dimensional pattern of distributed particles being performed by:
- acquiring a first image of the object with a first angle of illumination,
- 15 - acquiring a second image of the object with a second angle of illumination,
- combining the first and second images,
- determining if a geometrical pattern is present in the combined images.
- 20 3. The method of claim 1 or 2, wherein the determination if the object has a three-dimensional pattern of distributed particles is made by determining if the object is reflective.
4. The method of claim 3, wherein it is determined whether the objective is reflective by acquiring a first image of the object with diffused illumination and acquiring a second image of the object with direct illumination and
- 25 comparing a brightness of the object in the first and second images.

5. The method of any one of the preceding claims, the determination if the object has a three-dimensional pattern of distributed particles being performed by:
- illuminating the object with diffused, white light,
 - 5 - detecting light reflected from the object and light transmitted through the object,
 - determining if the reflected light and the transmitted light have complimentary colours.
6. The method of any one of the preceding claims, further comprising:
- 10 - acquiring an image of the object in a read position,
 - determining a dislocation of the read position with respect to a reference position by detecting of marker positions in the image,
 - performing a projective transformation of the image for compensation of the dislocation.
- 15 7. The method of any one of the preceding claims, wherein the two-dimensional data acquisition is performed by scanning the object along a predefined two-dimensional grid.
8. The method of any one of the preceding claims, wherein the two-dimensional data acquisition step is performed by acquiring an image of
- 20 the object.
9. The method of any one of the preceding claims, further comprising filtering of measurement data acquired by the two-dimensional data acquisition in order to provide the second code.
10. The method of claim 9, wherein the filtering involves low pass filtering of
- 25 the measurement data.

11. The method of claim 9 or 10, the filtering comprising a calculation of mean values of sub-sets of the measurement data.
12. The method of any one of the preceding claims, the first code comprising a set of random vectors and the second code being a data vector.
5
13. The method of claim 12, the random vectors being pseudo random, each random vector being represented by a running index, and further comprising entering a seed value for a pseudo random number generator in order to generate the random vectors on the basis of the seed value.
10
14. The method of claim 12 or 13, further comprising determining the signs of scalar products of each one of the random vectors and the data vector for generating a third code.
15. The method of claim 14, the third code being a check code for comparison with an authentication code.
15
16. The method of claim 14, the third code being a symmetric key.
17. The method of claim 16, the object belonging to a data carrier storing an encrypted file, the method further comprising decrypting the file by means of the symmetric key.
- 20 18. The method of claim 17, the first code being stored on the data carrier.
19. A computer program product for performing a method in accordance with any one of the preceding claims.
20. A logic circuit operable to perform a method of any one of the preceding claims .
- 25 21. An electronic device for determining the authenticity of an object, the electronic device comprising:

- means for receiving a first code,
 - means for determining if the object has a three-dimensional pattern of distributed particles,
 - means for performing a two-dimensional data acquisition for acquisition of a second code from the object,
 - means for determining the authenticity on the basis of the first and second codes.
22. The electronic device of claim 21, the means for determining if the object has a three-dimensional pattern of distributed particles being adapted to perform the steps of:
- acquiring first image data of the object with a first angle of illumination,
 - acquiring a second image of the object with a second angle of illumination,
 - combining of the first and second images,
 - determining if a geometrical pattern is present in the combined images.
23. The electronic device of claim 21 or 22, the means for determining if the object has a three-dimensional pattern of distributed particles being adapted to determine if the object is reflective.
24. The electronic device of claim 21, 22 or 23, the means for determining if the object has a three-dimensional pattern of distributed particles being adapted to determine whether the object is reflective by acquiring a first image with diffused illumination of the object and acquiring a second image with direct illumination of the object and comparing a brightness of the object in the first and second images.

25. The electronic device of any one of the preceding claims 21 to 24, the means for determining if the object has a three-dimensional pattern of distributed particles being adapted to perform the steps of:
- illuminating the object with diffused, white light,
 - 5 - detecting light reflected from the object and light transmitted through the object,
 - determining if the reflected light and the transmitted light have complimentary colours.
- 10 26. The electronic device of any one of the preceding claims 21 to 25, further comprising means for performing a projective transformation in order to compensate a dislocation of the object with respect to a reference position.
27. A method for providing the first code for use in an authentication method, the method comprising:
- 15 - providing a third code,
 - acquiring a data vector from an object representing a second code,
 - determining a random vector for each one of the bits of the third code on the basis of the second code to provide the first code.
- 20 28. The method of claim 27, wherein the object is an image.
29. The method of claim 28, further comprising scanning the image in order to obtain image data and filtering the image data to provide the data vector.
30. The method of claim 29, the filtering of the image data comprising a
25 calculation of mean values of sub-sets of the image data.

31. The method of claim 30, the sub-sets of the image data being determined by a predefined grid.
32. The method of any one of the preceding claims 27 to 31, the third code being a key.
- 5 33. A computer program product for performing a method of any one of the preceding claims 27 to 32.
34. A logic circuit operable to perform a method of any one of the preceding claims 27 to 32.
- 10 35. An electronic device operable to perform a method of any one of the preceding claims 27 to 32.
36. An apparatus for determining the authenticity of an object comprising:
- a reader for reading a first code,
 - an optical component for determining if the object has a three-dimensional pattern of distributed particles,
 - 15 - a measurement component for performing a two-dimensional data acquisition for acquisition of a second code from the object,
 - a microprocessor for determining the authenticity on the basis of the first and second codes.
- 20 37. A reader for a data carrier, the data carrier having an object, the reader comprising:
- a receiver for receiving a first code,
 - an optical component for determining if the object has a three-dimensional pattern of distributed particles,

- a measurement component for performing a two-dimensional data acquisition step for acquisition of a second code from the object,
 - a microprocessor for determining the authenticity of the data carrier on the basis of the first and second codes.
- 5
38. The reader of claim 37, the microprocessor being programmed to provide a third code on the basis of the first and second codes for decryption of mass data stored on the data carrier.
39. An electronic device for determining the authenticity of an object, the electronic device comprising:
- 10
- an interface for entering a first code,
 - an apparatus for determining if the object has a three-dimensional pattern of distributed particles and for performing a two-dimensional data acquisition for acquisition of a second code from the object,
- 15
- a processor for determining the authenticity on the basis of the first and second codes.
- 20
40. The electronic device of claim 39, the apparatus operable to determine if the object is reflective.
41. The electronic device of claim 39 or 40, further comprising a filter for filtering measurement data acquired by the two-dimensional data acquisition in order to provide the second code.
- 25

- 5 42. The electronic device of claim 39, 40 or 41, the first code comprising a set of random vectors and the second code being a data vector, the random vectors being pseudo random, and further comprising a pseudo random number generator to generate the random vectors on the basis of a seed value.
43. The electronic device of claim 42, the processor operable to determine the signs of scalar products of each one of the random vectors and the data vector for generating a third code.
- 10 44. The electronic device of claim 43, the third code being a check code for comparison with an authentication code.
45. The electronic device of claim 43, the third code being a symmetric key.

1 / 12

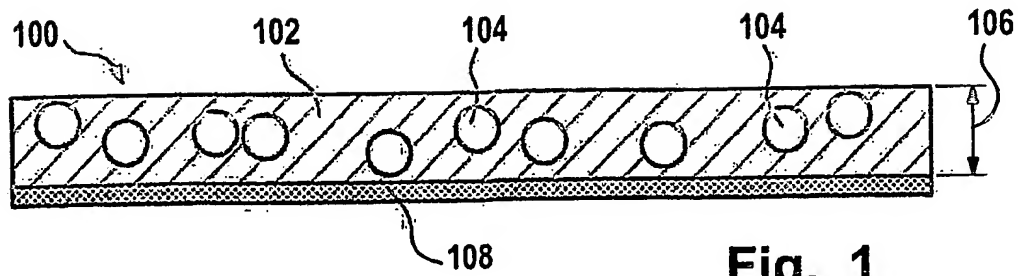


Fig. 1

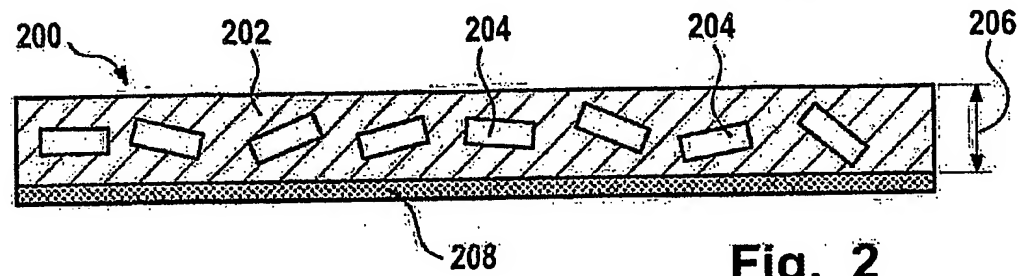


Fig. 2

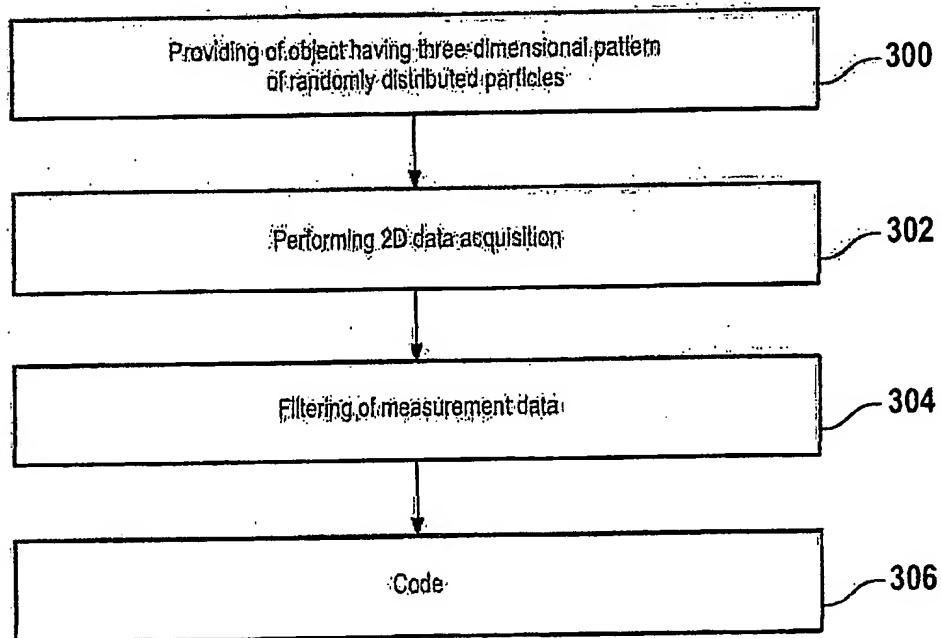


Fig. 3

2 / 12

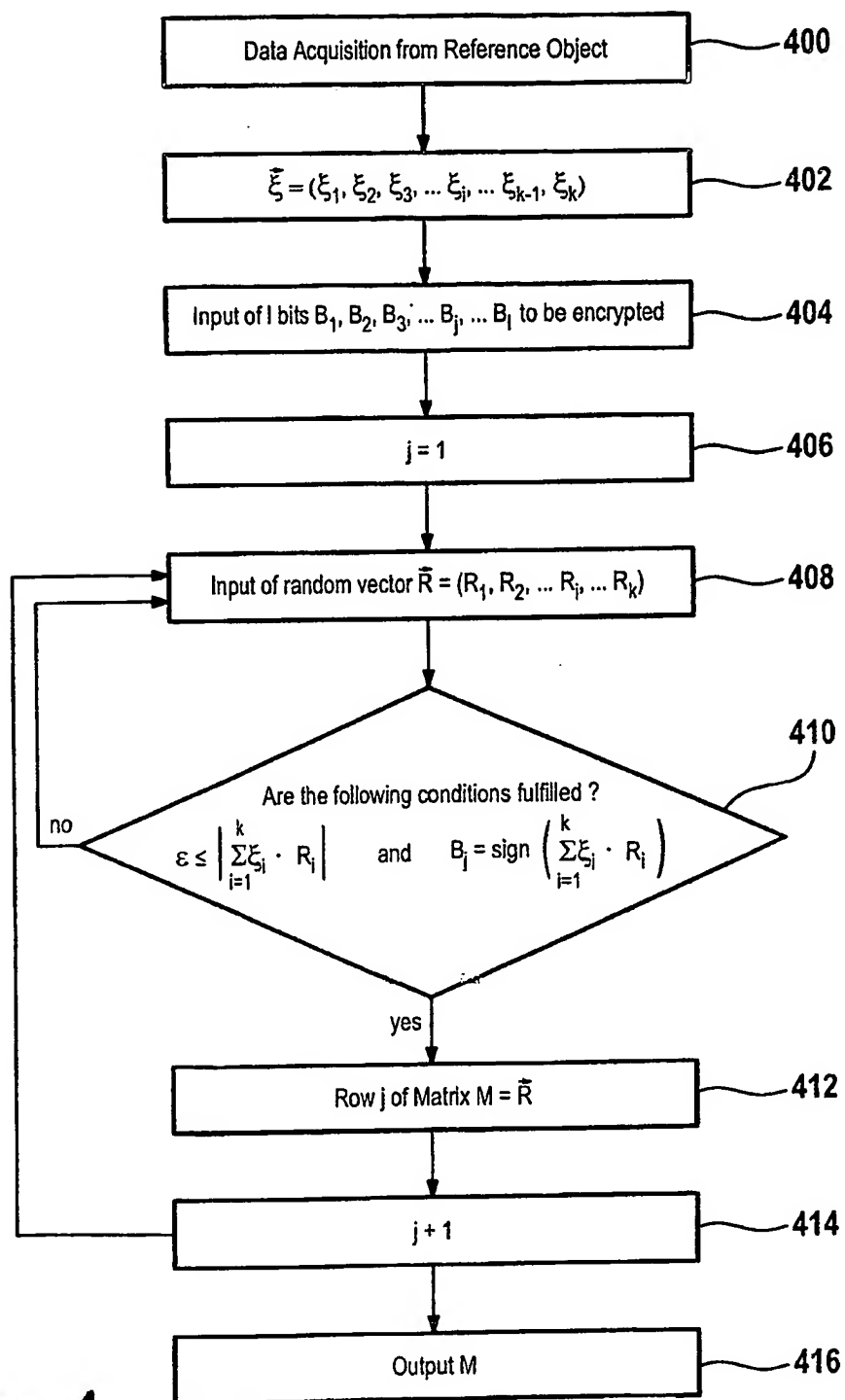


Fig. 4

3 / 12

$$M = \begin{vmatrix} R_1^1 & R_2^1 & \dots & R_{k-1}^1 & R_k^1 \\ R_1^2 & R_2^2 & \dots & R_{k-1}^2 & R_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ R_1^j & R_2^j & \dots & R_{k-1}^j & R_k^j \\ \vdots & \vdots & & \vdots & \vdots \\ R_1^{l-1} & R_2^{l-1} & \dots & R_{k-1}^{l-1} & R_k^{l-1} \\ R_1^l & R_2^l & \dots & R_{k-1}^l & R_k^l \end{vmatrix}$$

Fig. 5

4 / 12

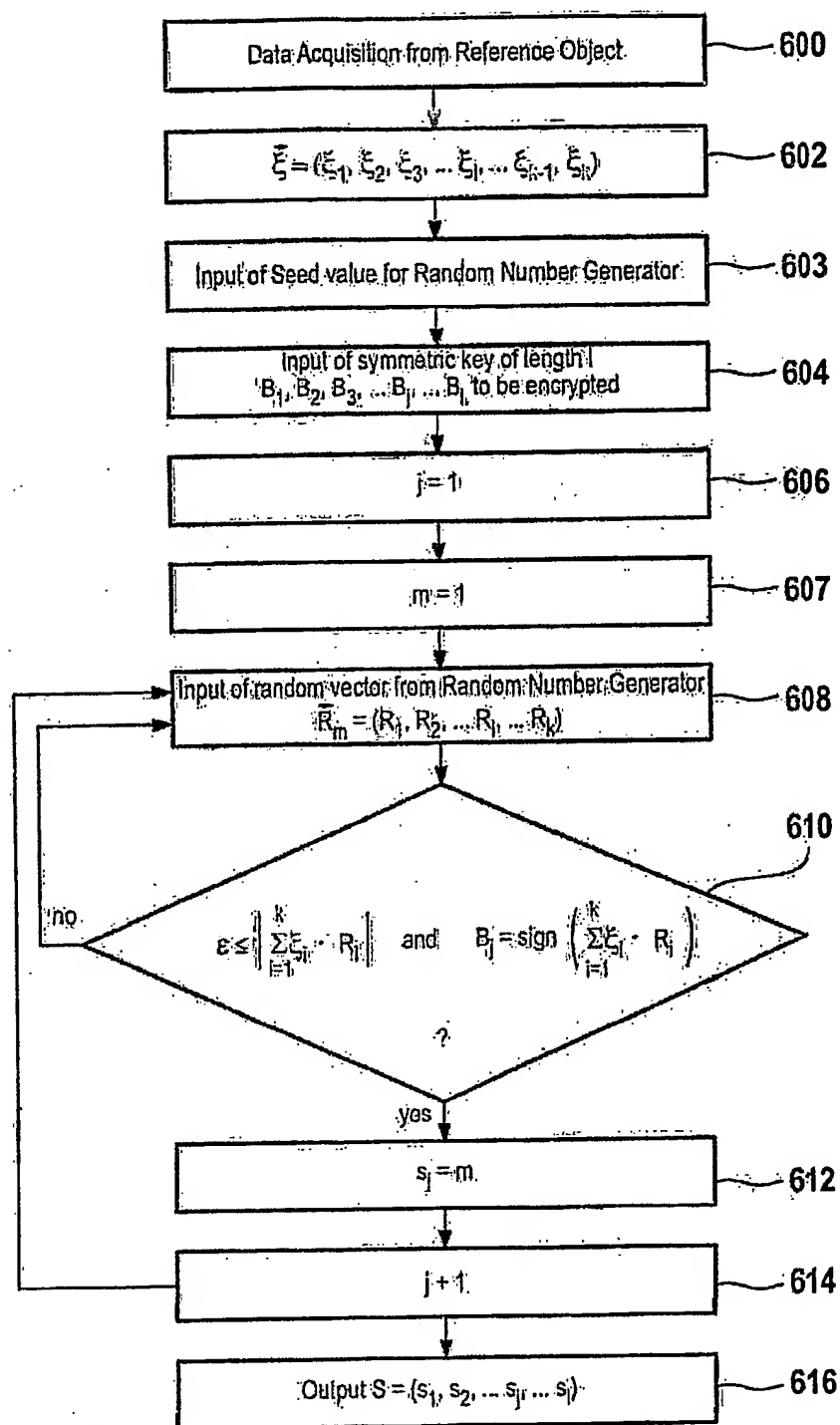


Fig. 6

5 / 12

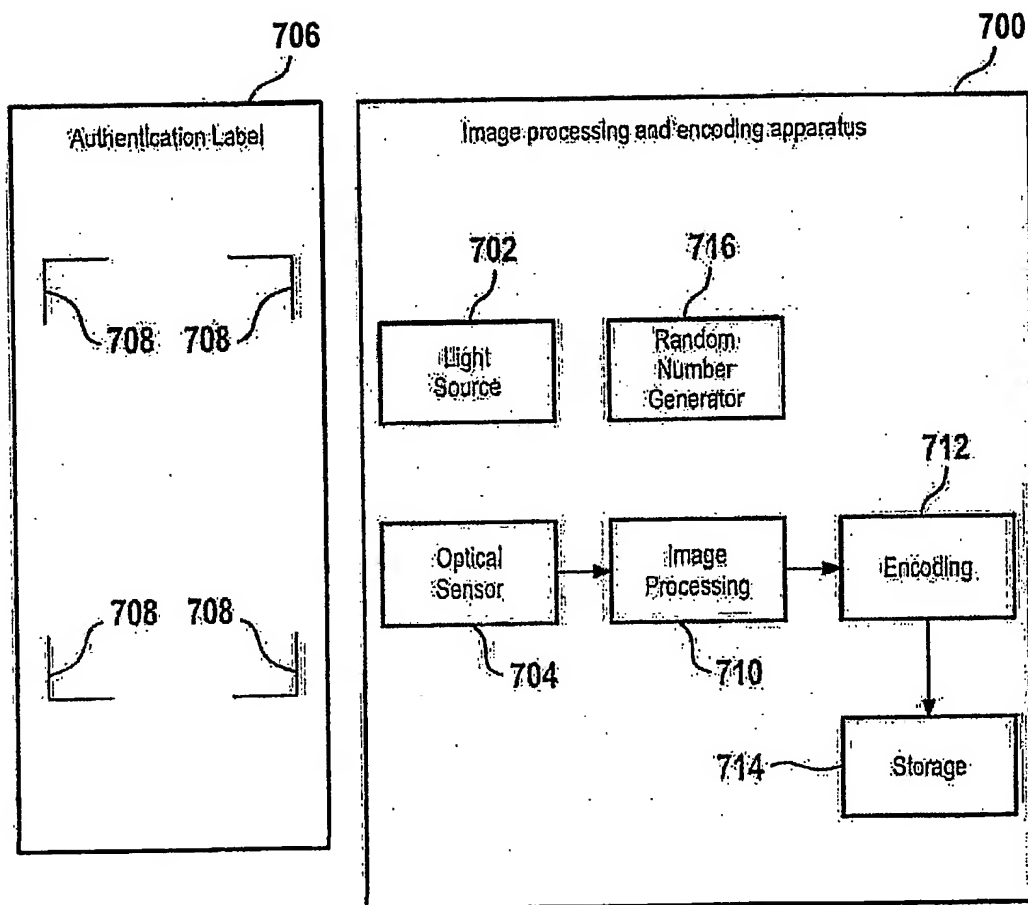
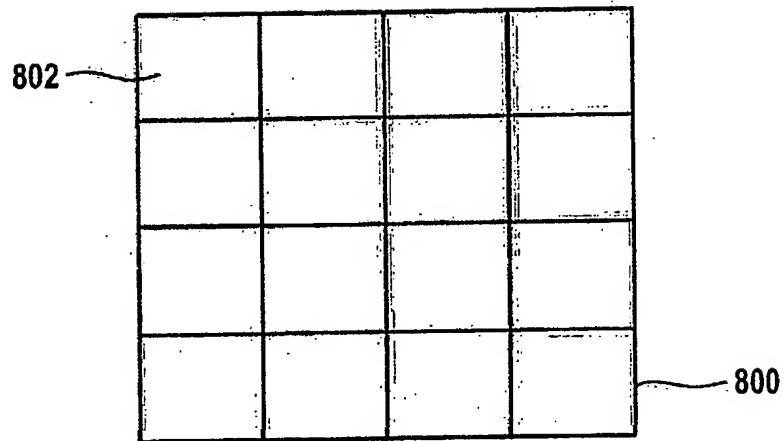


Fig. 7

6 / 12

**Fig. 8**

7 / 12

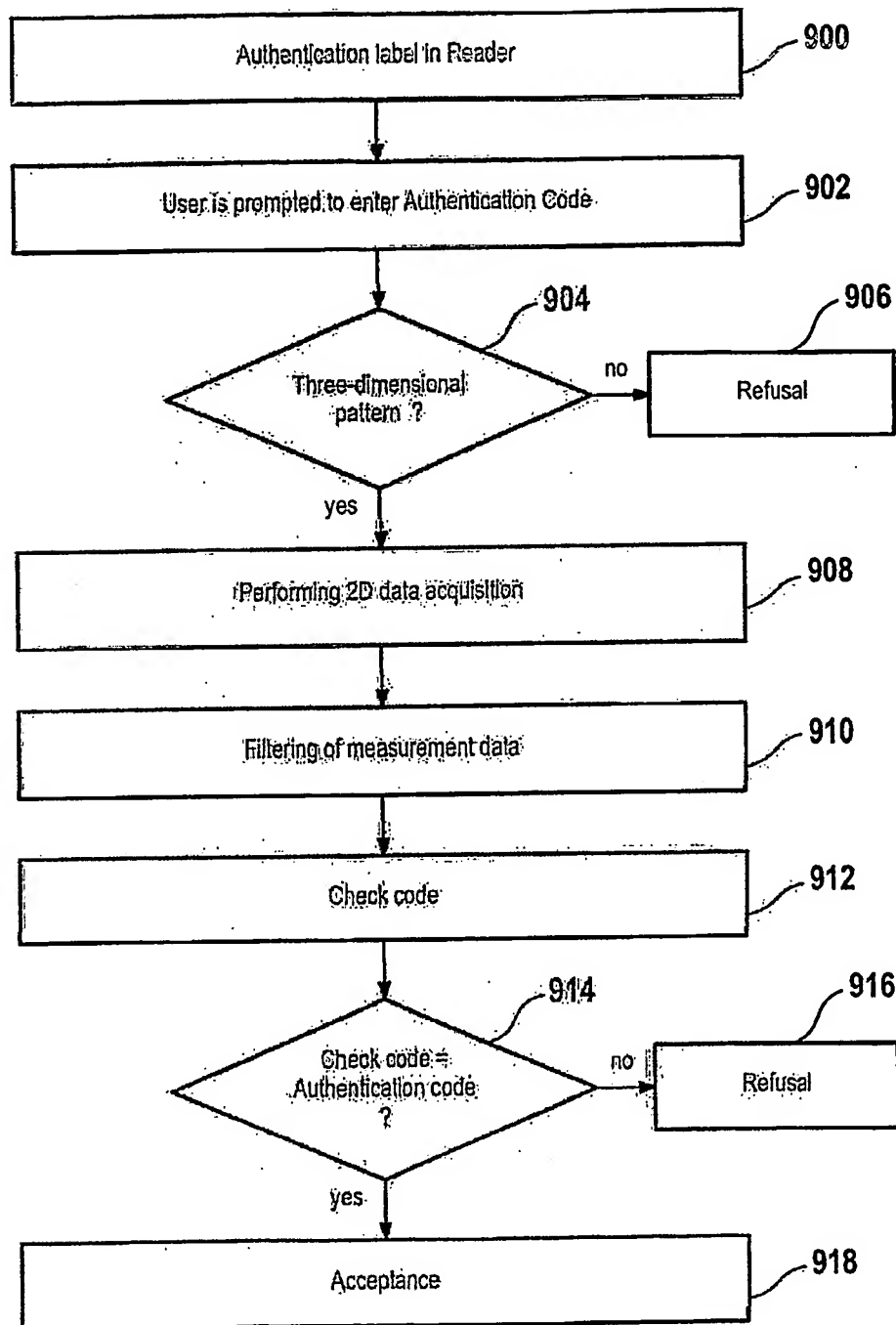


Fig. 9

8 / 12

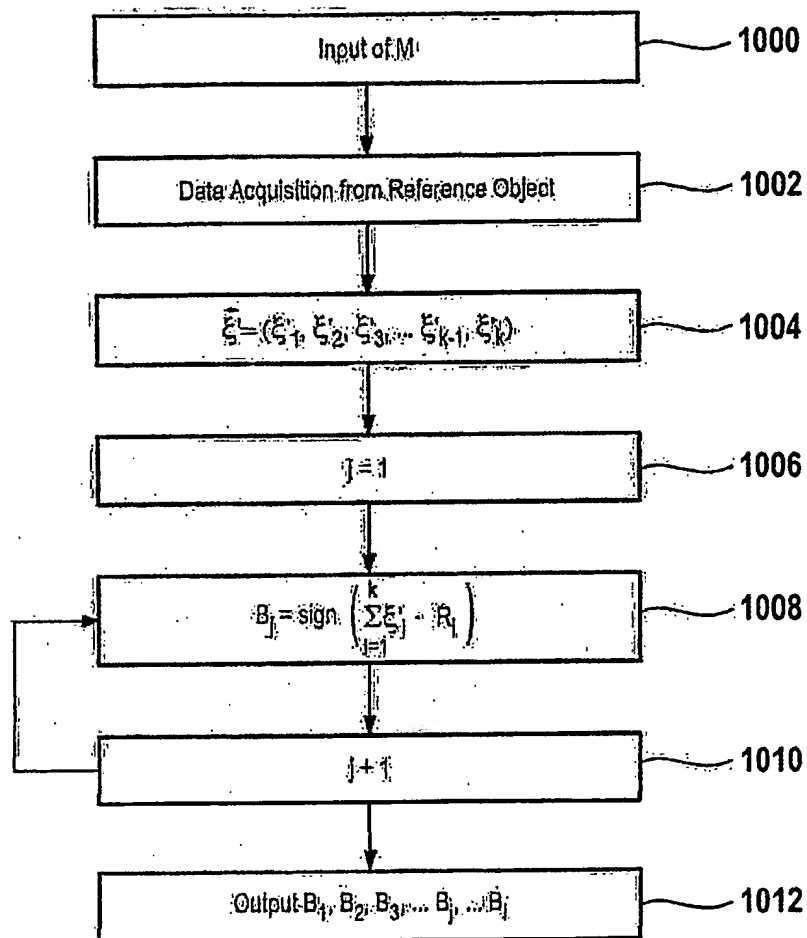


Fig. 10

9 / 12

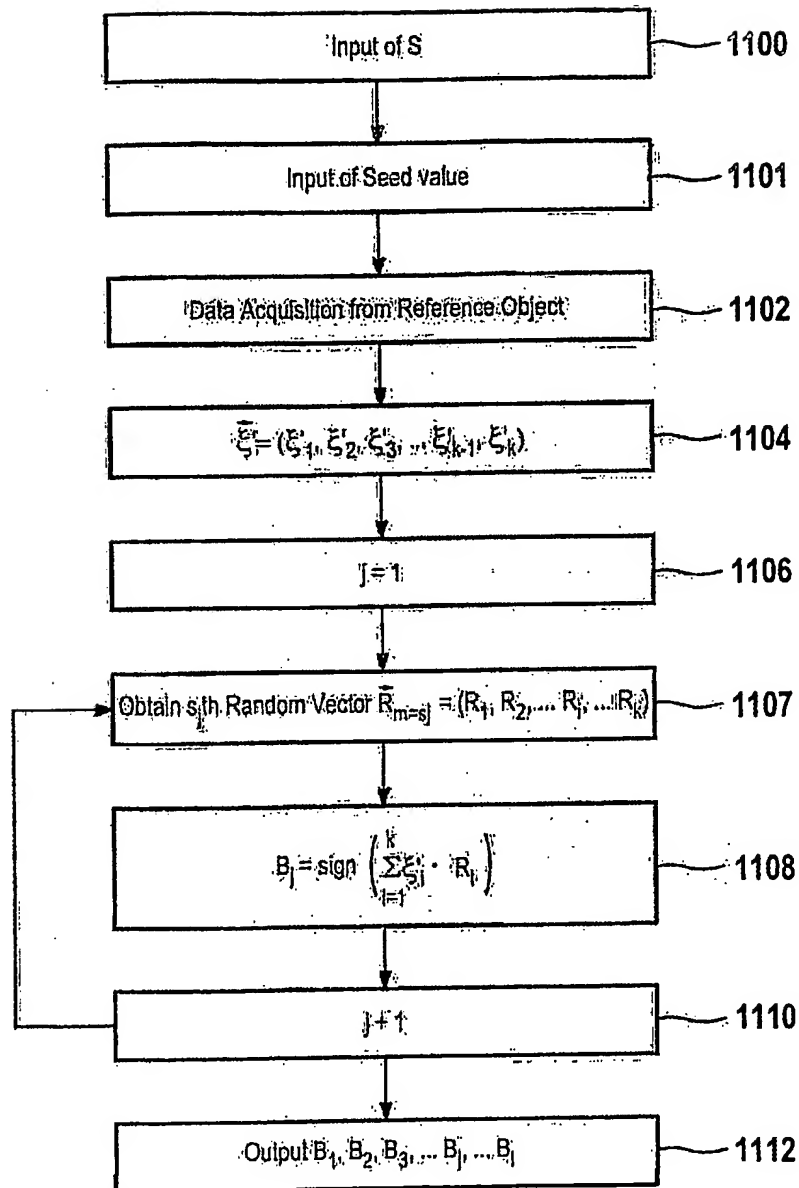


Fig. 11

10 / 12

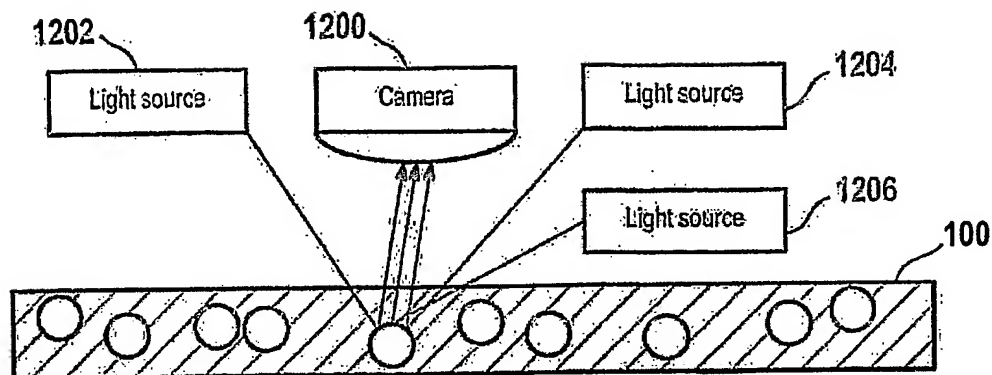


Fig. 12

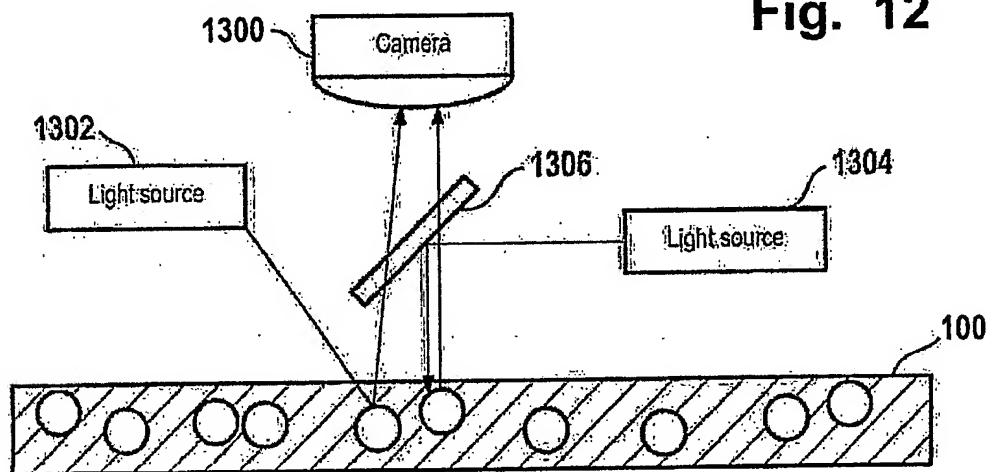


Fig. 13

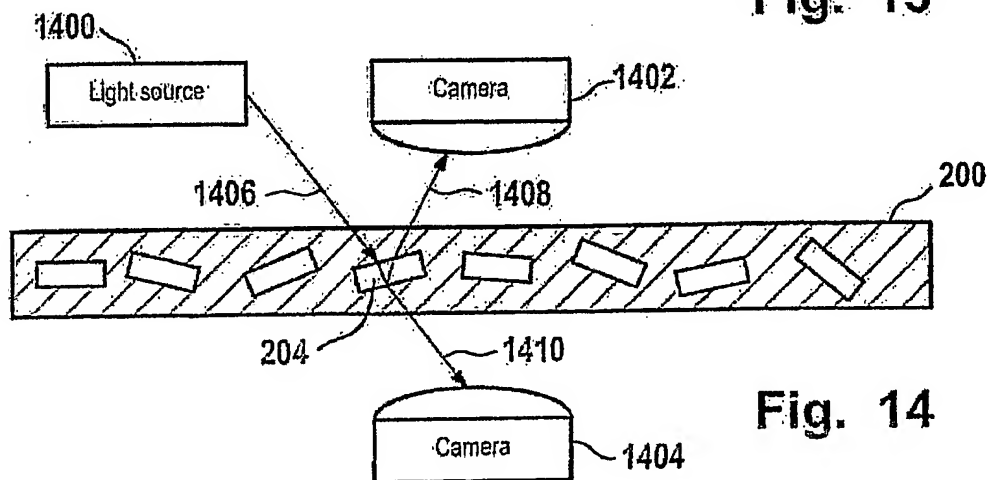


Fig. 14

11 / 12

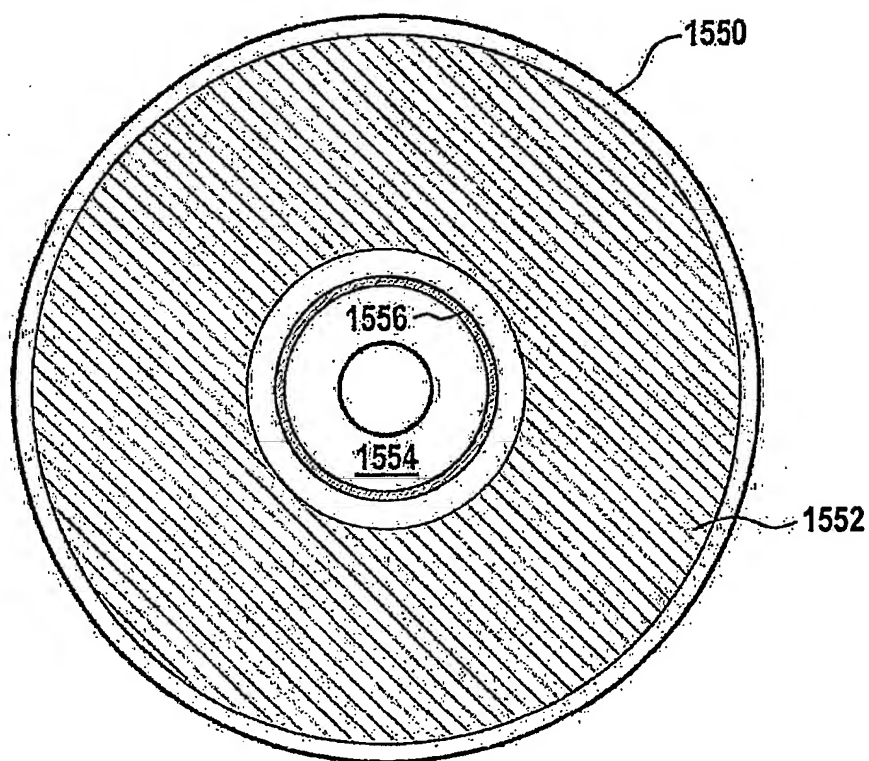


Fig. 15

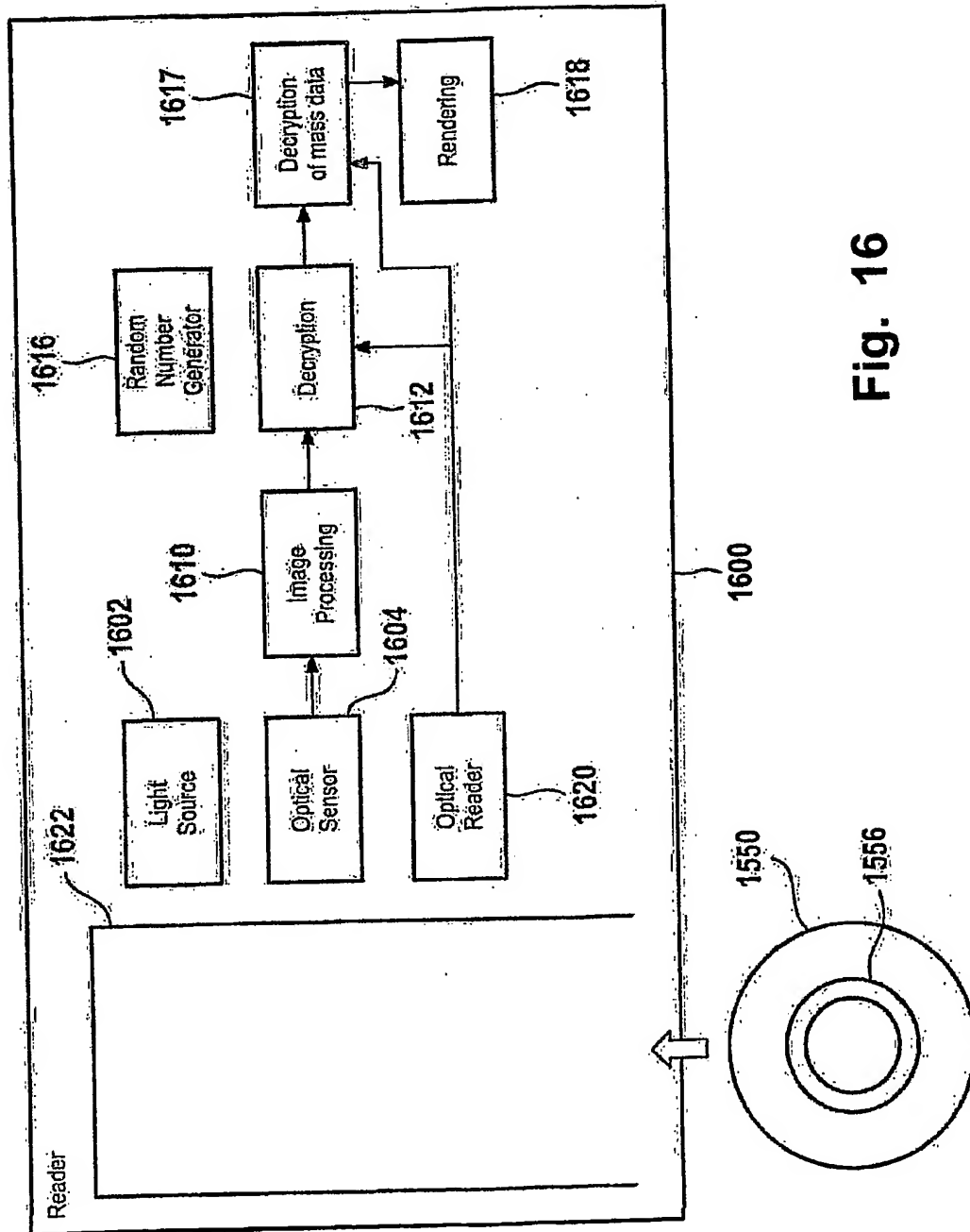


Fig. 16

INTERNATIONAL SEARCH REPORT

International Application No
PCT/EP2004/004539

A. CLASSIFICATION OF SUBJECT MATTER
IPC 7 G06K19/06 G06K7/14

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G06K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the International search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	WO 01/57831 A (KAISER CLEMENT ; NOVATEC S A SOC (FR); BOURRIERES FRANCIS (FR)) 9 August 2001 (2001-08-09) the whole document	1-4, 7, 8, 19-24, 27-37, 39, 40
X	WO 02/50790 A (BARFOOT KEITH MICHAEL ; FARRALL ANDREW JOHN (GB); ALPHAFox SYSTEMS LTD) 27 June 2002 (2002-06-27) page 4, line 1 - page 49, line 17	1-4, 19-21, 27-37, 39

☐ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- "&" document member of the same patent family

Date of the actual completion of the international search

17 September 2004

Date of mailing of the international search report

08/10/2004

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Schmidt, R

INTERNATIONAL SEARCH REPORT

International Application No
PCT/EP2004/004539

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 0157831	A	09-08-2001	FR 2804783 A1	10-08-2001
			FR 2804784 A1	10-08-2001
			AU 3196701 A	14-08-2001
			CA 2399154 A1	09-08-2001
			EP 1252616 A1	30-10-2002
			WO 0157831 A1	09-08-2001
			JP 2003521717 T	15-07-2003
			US 2003014647 A1	16-01-2003
WO 0250790	A	27-06-2002	AU 2814802 A	01-07-2002
			EP 1354304 A1	22-10-2003
			WO 0250790 A1	27-06-2002
			GB 2374831 A ,B	30-10-2002
			US 2004112962 A1	17-06-2004